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NUCLEAR WASTE MANAGEMENT PROGRAM PROCEDURE

SP 1-1 QA GRADING Revision 4

Effective Date: 07/18/03

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	(printed name)	(signature)	date

1.0 Purpose and Scope

This procedure defines the process, responsibilities, and controls for the determination of the level of quality to be assigned to Sandia National Laboratories (SNL) Waste Isolation Pilot Plant (WIPP) activities.

This procedure applies to Sandia National Laboratories or contractor personnel who determine and implement quality levels for work conducted for the SNL WIPP program.

Acronyms and definitions for terms used in this procedure may be found in the NWMP Glossary located at the Sandia National Laboratories NWMP On-line Documents web site.

2.0 Implementation Actions

2.1 Quality Assurance (QA) Grading

Grading of SNL WIPP activities and procured materials and services is conducted to ensure that appropriate levels of controls are placed on activities consistent with the importance of the activity as required by the Quality Assurance Program Document. For the SNL WIPP project, these activities are cited in 40 CFR Part 194 - activities associated with the isolation or containment of transuranic (TRU) waste. The SNL WIPP QA program uses a three-tier grading classification system, which is described below.

2.2 Definition of Quality Levels

There are three Quality Levels for SNL WIPP activities: QL-1, QL-2, and QL-3.

QL-1 applies to those SNL WIPP activities (including materials and services) which are **critical** to the quality of data which directly supports the WIPP project. QL-1 activities require strict adherence to the SNL WIPP QA program and applicable NWMP QA procedures to ensure the quality of the data is not compromised or suspect. Services and materials shall be procured from suppliers who have

been identified as providing acceptable quality in accordance with the procurement selection and quality monitoring process described in NP 4-1 (Procurement).

QL-2 is assigned to SNL WIPP activities (including materials and services) which are **important** to the quality of data which directly supports the WIPP project. QL-2 activities require adherence to the SNL WIPP QA program and applicable NWMP QA procedures. Services and materials need not be procured from suppliers which have been identified in accordance with the procurement selection and quality monitoring process described in NP 4-1 (Procurement).

QL-3 is assigned to SNL WIPP activities (including materials and services) which do **not affect the quality of** data which supports the WIPP project. Normal SNL corporate procurement policies and practices should be followed, however, the function of the material or services will not affect the quality of data collected for the WIPP project. Examples include administrative equipment and supplies (typewriters, paper, pens, etc.).

2.3 Determination of Quality Levels

The individual with primary responsibility for the project or task, such as the Principal Investigator (PI) Project Lead, or Task Lead, determines what level of quality is appropriate for the activity using the **Grading and Procurement/Receipt Inspection** form (**Form SP 1-1-1**) in Appendix A of this procedure. For the purposes of this procedure, this person is referred to as the "QA Grader."

Note: Form SP 1-1-1 DOES NOT need to be filled out and submitted if the QA Grader determines that the material or service is QL-3. If the category is unclear contact a QA team member.

2.3.1 Using the form SP 1-1-1 (QL-1 and QL-2 only)

When all QA Grading questions on the form SP 1-1-1 have been completed, the QA Grader shall document the Quality Level (QL-1 or QL-2) on the form, document any Quality Requirements needed for the item or service in the Quality Requirements block, and sign and date the form. The QA Grader shall then forward the Form SP 1-1-1 and supporting information providing the basis for review and concurrence to a technical reviewer and then to a WIPP QA staff member for concurrence. Supporting information for procurements shall include the SNL required procurement package for that type of procurement activity. The technical reviewer and the QA staff member indicate concurrence by signing Form SP 1-1-1. If the WIPP QA staff member concurs with the Quality Level identified by the QA Grader, the two individuals shall attempt to resolve the conflict. If they can not reach agreement, the SNL WIPP QA Team Lead shall make the final decision.

The form and supporting information is forwarded to the appropriate person for processing as follows:

- To Document Control for non-procurements (materials or activities not purchased) in accordance with the requirement in the Quality Assurance Program description, or for procurements done through a Just-In-Time (JIT) acquisition. The BPS does not need a copy of Form SP 1-1-1 for these actions.
- To the Budget Procurement Specialist (BPS) for service contracts, Procurement Card, credit card, and purchase requisitions/order acquisitions. See Section 2.3.2 below.

For procurements that are not made through the BPS the original grading sheet is transmitted to Document Control. For Just-In-Time (JIT) purchases Form SP 1-1-1 shall be submitted to Document Control directly (BPS does not need a copy).

The form SP 1-1-1 provides documentation of the decision of the appropriate quality level for an activity, and as such shall be completed in full and submitted prior to performance of work.

2.3.2 Tracking Quality Levels

Document Control shall maintain a list of Quality Levels for WIPP activities. This list shall be posted on the NWMP on-line Documents web site, and a hard copy submitted to the WIPP Records Center.

2.4 Revising Quality Levels

Changes in work scope or nature may justify (or require) changing the Quality Level of an activity. Revisions to Quality Levels shall follow the same review process as the original review of the Quality Level defined in section 2.3.1 above, and be documented on a Form SP 1-1-1. The review shall be performed by either the same individuals, or other individuals performing the same function for the activity.

Document Control shall maintain revision control of the Quality Levels list, and update the NWMP on-line Documents web site.

3.0 Records

The following QA records, generated through implementation of this procedure, shall be prepared and submitted to the WIPP Records Center in accordance with NP 17-1 (Records):

<u>QA Record</u>	<u>Preparer</u>	<u>Records Submitter</u>
<ul style="list-style-type: none">Procurements managed by the BPS Grading and Procurement/Receipt Inspection form and supporting documentation. <p>This includes contracts and procurement card orders. See procedure NP 4-1 for additional information.</p>	QA Grader/Receipt Inspector and BPS	<ul style="list-style-type: none">BPS Service contracts and other actions managed by BPS
<ul style="list-style-type: none">Quality Levels List <p>This includes JIT and non-procurement items and activities and the Quality Levels List.</p>	QA Grader/Receipt Inspector and Document Control	<ul style="list-style-type: none">Document Control

4.0 Appendices

Appendix A

NUCLEAR WASTE MANAGEMENT PROGRAM Sandia National Laboratories	<h1 style="margin: 0;">Grading and Procurement/Receipt Inspection</h1>	Form Number: SP 1-1-1 Page 1 of 2																				
1. Item/Service: _____ <div style="text-align: right; font-size: small;">(Describe, or reference attachments to this form)</div>																						
QA Grader: _____ <div style="display: flex; justify-content: space-between; font-size: small;"> (printed name) (signature) (date) </div>																						
Method of Purchase (choose one from drop-down box): <u>Select one...</u>																						
Supplier Name and Address: _____																						
<input type="checkbox"/> I have evaluated the Supplier's performance history in providing the quality needed for the items/services and have determined that it is adequate. (SNL WIPP Supplier history is located on the NWMP on-line documents web site).																						
2. QA Grading – Follow the STEPs below:																						
STEP 1: (Answer questions 1-4, and check either YES or NO) Is the item or service quality affecting for any of the following areas:																						
<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 70%;">1. Computations, computer codes, models, and methods to demonstrate compliance with 40 CFR 194.</td> <td style="width: 10%; text-align: center;"><input type="checkbox"/></td> <td style="width: 10%; text-align: center;">YES</td> <td style="width: 10%; text-align: center;"><input type="checkbox"/></td> <td style="width: 10%; text-align: center;">NO</td> </tr> <tr> <td>2. Procedures to support the applications for certification and recertification in accordance with 40 CFR 194.</td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;">YES</td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;">NO</td> </tr> <tr> <td>3. Collection of data and information to support 40 CFR 194 compliance application(s).</td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;">YES</td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;">NO</td> </tr> <tr> <td>4. The overview or independent assessment of items 1 through 3 above.</td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;">YES</td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;">NO</td> </tr> </table>			1. Computations, computer codes, models, and methods to demonstrate compliance with 40 CFR 194.	<input type="checkbox"/>	YES	<input type="checkbox"/>	NO	2. Procedures to support the applications for certification and recertification in accordance with 40 CFR 194.	<input type="checkbox"/>	YES	<input type="checkbox"/>	NO	3. Collection of data and information to support 40 CFR 194 compliance application(s).	<input type="checkbox"/>	YES	<input type="checkbox"/>	NO	4. The overview or independent assessment of items 1 through 3 above.	<input type="checkbox"/>	YES	<input type="checkbox"/>	NO
1. Computations, computer codes, models, and methods to demonstrate compliance with 40 CFR 194.	<input type="checkbox"/>	YES	<input type="checkbox"/>	NO																		
2. Procedures to support the applications for certification and recertification in accordance with 40 CFR 194.	<input type="checkbox"/>	YES	<input type="checkbox"/>	NO																		
3. Collection of data and information to support 40 CFR 194 compliance application(s).	<input type="checkbox"/>	YES	<input type="checkbox"/>	NO																		
4. The overview or independent assessment of items 1 through 3 above.	<input type="checkbox"/>	YES	<input type="checkbox"/>	NO																		
STEP 2: If ANY of the questions in step 1 was marked YES , answer the questions below to determine if the activity/material is QL-1 or QL-2.																						
<ul style="list-style-type: none"> Is the activity or material CRITICAL to the quality of data which directly supports the WIPP program? If the answer to this question is YES, proceed to STEP 3, and mark QL-1 in the quality level blank provided. Is the activity or material IMPORTANT, but not critical to the quality of data which directly supports the WIPP program? If the answer to this question is YES, proceed to STEP 3, and mark QL-2 in the quality level blank provided. 																						
STEP 3: Quality Level: _____ <div style="display: flex; justify-content: space-around; font-size: small;"> (QL-1 or QL-2) If revising Quality Level, indicate Revision # </div>																						
QA Staff member concurrence with Quality Level: Concur <input type="checkbox"/> Do Not Concur <input type="checkbox"/>																						
<div style="display: flex; justify-content: space-between; font-size: small;"> _____ (printed name) _____ (signature) _____ (date) </div>																						
3. Quality Requirements: (Document any unique quality requirements/specifications needed for the item/service to meet its intended use. Unique requirements must be entered in the block below, or attached to this form and clearly referenced in the block)																						
<ul style="list-style-type: none"> This item may be procured as a Commercial Grade "off-the-shelf" purchase. <input type="checkbox"/> Yes <input type="checkbox"/> No The item/service, as ordered, incorporates all quality requirements needed. <input type="checkbox"/> Yes <input type="checkbox"/> No Unique quality requirements:																						

NUCLEAR WASTE MANAGEMENT PROGRAM Sandia National Laboratories	<h2 style="margin: 0;">Grading and Procurement/Receipt Inspection</h2>	Form Number: SP 1-1-1 Page 2 of 2
4. Procurement Review: (Technical and QA reviews are required for all procurements - PR, JIT, Procurement Card, Credit Card)		
<div style="display: flex; justify-content: space-between;"> <div style="width: 30%;"> Technical Review: _____ <div style="text-align: center; margin-top: 5px;">(printed name)</div> </div> <div style="width: 30%;"> _____ <div style="text-align: center; margin-top: 5px;">(signature)</div> </div> <div style="width: 30%;"> _____ <div style="text-align: center; margin-top: 5px;">(date)</div> </div> </div> <div style="display: flex; justify-content: space-between; margin-top: 10px;"> <div style="width: 30%;"> QA Review: _____ <div style="text-align: center; margin-top: 5px;">(printed name)</div> </div> <div style="width: 30%;"> _____ <div style="text-align: center; margin-top: 5px;">(signature)</div> </div> <div style="width: 30%;"> _____ <div style="text-align: center; margin-top: 5px;">(date)</div> </div> </div>		
5. Receipt Inspection: The purpose of this receipt inspection is to verify that all quality requirements/acceptance criteria specified for this item or service were met in the item or deliverable as received.		
<p>Acceptance criteria - The quality requirements listed on the reverse side of this form constitute the acceptance criteria for this item/service. If there are any acceptance criteria different than these quality requirements, list them below.</p> 		
<div style="display: flex; justify-content: space-between;"> <div style="width: 60%;"> Purchase Order (PO) number and rev, JIT Requisition number, or other ID: _____ </div> <div style="width: 35%;"> Procurement Date: _____ </div> </div> <ol style="list-style-type: none"> 1. Were the quality requirements specified for this item or service met? <input type="checkbox"/> YES <input type="checkbox"/> NO <div style="display: flex; justify-content: space-around; margin-top: 5px;"> (Go to Signature Block) (Complete step 2 below) </div> 2. Describe the deficiency in detail: <p>Note: After signing below, forward this form to a QA staff member for evaluation of the deficiency.</p>		
Individual who Performed the Receipt Inspection: <div style="display: flex; justify-content: space-between; margin-top: 10px;"> <div style="width: 30%;"> _____ <div style="text-align: center; margin-top: 5px;">(printed name)</div> </div> <div style="width: 30%;"> _____ <div style="text-align: center; margin-top: 5px;">(signature)</div> </div> <div style="width: 30%;"> _____ <div style="text-align: center; margin-top: 5px;">(date of receipt inspection)</div> </div> </div>		
6. QA Review: (Complete this section only when items or services do not meet quality requirements.)		
Is Corrective Action required in accordance with NP 16-1? <input type="checkbox"/> Yes <input type="checkbox"/> No <div style="display: flex; justify-content: space-between; margin-top: 10px;"> <div style="width: 30%;"> _____ <div style="text-align: center; margin-top: 5px;">(printed name)</div> </div> <div style="width: 30%;"> _____ <div style="text-align: center; margin-top: 5px;">(signature)</div> </div> <div style="width: 30%;"> _____ <div style="text-align: center; margin-top: 5px;">(date)</div> </div> </div> <p>Forward Original to Document Control Staff</p>		

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